



#3

DECLARATION FOR PATENT APPLICATION

As the below-named inventors, we hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **MULTIPARAMETER ANALYSIS FOR PREDICTIVE MEDICINE**, the specification of which

_____ is attached hereto as Attorney Docket No.

 X was filed on November 28, 2000, as Application Serial No. 09/724,898 Attorney Docket No. P-IS 4403.

and was amended on (or amended through) _____.
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to myself to be material to patentability as defined in Title 37, Code of Federal Regulations, Sec. 1.56.

Under Sec. 1.56, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and (1) It establishes, by itself or in combination with other information,



Inventors: Hood and Siegel
Serial No.: 09/724,898
Filed: November 28, 2000
Page 2

a prima facie case of unpatentability of a claim; or (2) It refutes, or is inconsistent with, a position the applicant takes in: (a) Opposing an argument of unpatentability relied on by the U.S. Patent and Trademark Office, or (b) Asserting an argument of patentability.

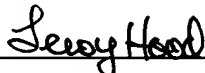
I hereby claim the benefit under Title 35, United States Code, § 119(e) of the United States provisional application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application(s) in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose information that is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56(a) that became available between the filing date of the prior application(s) listed below and the filing date of this non-provisional application:

<u>Application Serial No.</u>	<u>Filing Date</u>	<u>Status</u>
60/221,803	July 31, 2000	Pending
60/226,328	August 17, 2000	Pending

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventors: Hood and Siegel
Serial No.: 09/724,898
Filed: November 28, 2000
Page 3

Full name of first inventor: **Leroy Hood**

Inventor's signature: 

Date: 2/5/01

Residence: Seattle, Washington USA

Citizenship: United States of America

Post Office Address: 6411 Northeast Windermere Road
Seattle, Washington 98105 USA

Full name of second inventor: **Andrew F. Siegel**

Inventor's signature: 

Date: 3/22/01

Residence: Shoreline, Washington USA

Citizenship: United States of America

Post Office Address: 19243 Ashworth North
Shoreline, Washington 98133 USA



#4

Attorney Docket No.: P-IS 4403
Applicants or Patentees: Hood and Siegel
Serial or Patent No.: 09/724,898
Filed or Issued: November 28, 2000
Title: MULTIPARAMETER ANALYSIS FOR PREDICTIVE MEDICINE

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(d)) NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION: INSTITUTE FOR SYSTEMS BIOLOGY
ADDRESS OF NONPROFIT ORGANIZATION: 4225 Roosevelt Way, N.E.
Suite 200
Seattle, Washington
98105-6099 USA

TYPE OF NONPROFIT ORGANIZATION:

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

Inventors: Hood and Siegel
Serial No.: 09/724,898
Filed: November 28, 2000
Page 2

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention entitled **MULTIPARAMETER ANALYSIS FOR PREDICTIVE MEDICINE** by inventors **Leroy Hood** and **Andrew F. Siegel** described in:

[] the specification filed herewith
[X] application serial no. **09/724,898**, filed **November 28, 2000**
[] patent no. , issued

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any persons, other than the inventors, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME:

ADDRESS:

[] INDIVIDUAL
[] SMALL BUSINESS CONCERN
[] NONPROFIT ORGANIZATION

Inventors: Hood and Siegel
Serial No.: 09/724,898
Filed: November 28, 2000
Page 3

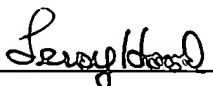
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Leroy Hood

Title of Person Signing: President and Director

Address of Person Signing: 4225 Roosevelt Way, N.E.
Suite 200
Seattle, Washington 98105-6099

Signature: 

Date: 2/5/01



STATEMENT UNDER 37 C.F.R. § 3.73(b)

Title of Application: **MULTIPARAMETER ANALYSIS FOR PREDICTIVE
MEDICINE**

Application Ser. No.: **09/724,898**

Filed: **November 28, 2000**

Inventors: **Hood and Siegel**

Attorney Docket No.: **P-IS 4403**

INSTITUTE FOR SYSTEMS BIOLOGY, a corporation, states that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of an assignment from the inventors of the application. A copy of the executed assignment, submitted for recording, is attached hereto as documentary evidence of the chain of title to the assignee.

The undersigned is empowered to sign this statement on behalf of the assignee.

INSTITUTE FOR SYSTEMS BIOLOGY

Date: 2/5/01

Signature: Leroy Hood

Name: **Leroy Hood**

Title: **President and Director**



An executed Statement Under CFR
3.73(b) with a copy of the executed
assignment
P-IS 4403
Serial No.: 09/724,898

I hereby certify that this correspondence is being deposited with
the United States Postal Service as first class mail in an
envelope addressed to: Attention Box Missing Parts, Commissioner
for Patents, Washington, D.C. 20231, on May 30, 2001.

By Deborah L. Cadena
Deborah L. Cadena, Reg. No. 44,048

May 30, 2001
Date of Signature